

Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

FAIST, JAMES A.
DDR& E for Advanced Capabilities, OUSD (R&E), OSD
Date of Appointment: 08/13/2018

Other Federal Government Positions Held During the Preceding 12 Months: None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.
eSigned in FDM by:
JAMES A. FAIST
User ID: 5fb40c5d87b3a90ed3b3c83e240d37658ab524abebc07593d79a08b9485087231bc75381bd15
10/18/2018

Agency Ethics Official's Opinion - On the basis of information contained in this report. I conclude that the filer is in compliance with applicable laws and regulations(Subject to any comments below).
eSigned in FDM by:
JEFFREY A. GREEN
User ID: a5bf1c96cf015cfc52e73ac22d16c030dec8411331bd8b61c30d7bc82a04bf3ea8e97cf2
10/25/2018

Other review conducted by
Supervisor:
eSigned in FDM by:
MICHAEL D. GRIFFIN
User ID: b225e97b04a5308355dcbcec167042dff49b8164ec9d20b240cb1bfc8c3df92c651eb68865e1
10/22/2018

U.S. Office of Government Ethics Certification

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
6.	9.1	Residential, Melbourne Florida	(10/16/18, MONDAY, RENEE M.): Filer confirmed there is no mortgage held with this rental property.

1. Filer's Positions Held Outside United States Government

#	NAME	CITY, STATE	OGE TYPE	POSITION	FROM	TO
1	Estate of Paul Faist	Bogota, NJ, USA	Will	Co-Exeutor	02/2016	Present
2	Northrop Grumman Corporation	Linthicum, MD, USA	Business Enterprise	Employee	06/2017	08/2018
3	Schafer Corporation	Arlington, VA, USA	Business Enterprise	Employee	09/2013	05/2017
4	The James A. Faist and Barbara C. Faist Living Tru	Arlington, VA, USA	Trusts and Estates	Trustee	07/2007	Present

2. Filer's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Northrop 401K Plan - Northrop Gruman Stock Fund	No	\$15,001 - \$50,000		None (or less than \$201)
2	2017 Northrop Grumman Systems Corp	N/A		Salary	\$135772
3	2017 Schafer Government Services LLC	N/A		Salary	\$178545
4	2018 Northrop Grumman Systems Corp	N/A		Salary	\$140495

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR OTHER PARTY TO AGREEMENT/ARRANGEMENT	CITY/STATE	STATUS AND TERMS	DATE
1	Northrop Gruman Corporation	Linthicum, MD, USA	Defined Controbution Plan: Participation discontinue d in August 2018	06/2017
2	Schafer Corporation	Arlington, VA, USA	Stock Option: New Schafer LP 2015 Option Plan (29 Ma y 2015): 50,348 units	05/2015

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Northrop Gruman	Linthicum, MD	Chief Engineer
2	Schafer Government Services	Arlington, VA	Chief Technology and Strategy Officer Vice President/General Manager of Military Aero space Division

5. Spouse's Employment Assets & Income and Retirement Accounts

This report has no reported Assets

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Fidelity IRA	No			None (or less than \$201)
1.1	FDIC Insured Deposit	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2	Fidelity Blue Chip Growth	Yes	\$100,001 - \$250,000		None (or less than \$201)

1.3	Fidelity Contrafund	Yes	\$1,001 - \$15,000	None (or less than \$201)
1.4	Fidelity Growth Company	Yes	\$50,001 - \$100,000	None (or less than \$201)
1.5	-General Electric Company	No	\$1,001 - \$15,000	None (or less than \$201)
1.6	Gilead Sciences Inc	No	\$1,001 - \$15,000	None (or less than \$201)
1.7	-Harris Corporation	No	\$50,001 - \$100,000	None (or less than \$201)
1.8	Qualcom Inc	No	\$1,001 - \$15,000	None (or less than \$201)
1.9	United Technologies Corporation	No	\$1,001 - \$15,000	None (or less than \$201)
2	1st Global Capital Corporation IRA	No		None (or less than \$201)
2.1	Bank Deposit Sweep Program	N/A	\$15,001 - \$50,000	None (or less than \$201)
2.2	Amazon Corporation	No	\$50,001 - \$100,000	None (or less than \$201)
2.3	Bank of America Corporation	No	\$15,001 - \$50,000	None (or less than \$201)
2.4	Bio-Techne Corporation	No	\$1,001 - \$15,000	None (or less than \$201)
2.5	Boeing Corporation	No	\$50,001 - \$100,000	None (or less than \$201)
2.6	CSX Corporation	No	\$15,001 - \$50,000	None (or less than \$201)
2.7	Cisco Systems Inc Corporation	No	\$15,001 - \$50,000	None (or less than \$201)
2.8	Colgate-Palmolive Corporation	No	\$15,001 - \$50,000	None (or less than \$201)
2.9	Conoco Phillips Corporation	No	\$15,001 - \$50,000	None (or less than \$201)
2.10	Continental Resources Incorporated	No	\$1,001 - \$15,000	None (or less than \$201)
2.11	Disney Walt Company	No	\$15,001 - \$50,000	None (or less than \$201)
2.12	Dun & Bradstreet Corporation	No	\$15,001 - \$50,000	None (or less than \$201)
2.13	Exxon Mobile Corporation	No	\$1,001 - \$15,000	None (or less than \$201)
2.14	Freeport McMoran Incorporated	No	\$1,001 - \$15,000	None (or less than \$201)
2.15	Gilead Sciences Incorporated	No	\$15,001 - \$50,000	None (or less than \$201)
2.16	Goldman Sachs Group	No	\$15,001 - \$50,000	None (or less than \$201)
2.17	Hilton Grand Vacations Incorporated	No	\$1,001 - \$15,000	None (or less than \$201)
2.18	Hilton Worlwide Holdings Incorporated	No	\$15,001 - \$50,000	None (or less than \$201)

2.19	Johnson & Johnson Incorporated	No	\$15,001 - \$50,000	None (or less than \$201)
2.20	New Relic Incorporated	No	\$15,001 - \$50,000	None (or less than \$201)
2.21	Nutrien Limited	No	\$1,001 - \$15,000	None (or less than \$201)
2.22	Park Hotels Resorts Incorporated	No	\$1,001 - \$15,000	None (or less than \$201)
2.23	Pfizer Incorporated	No	\$15,001 - \$50,000	None (or less than \$201)
2.24	Phillips 66 Corporation	No	\$15,001 - \$50,000	None (or less than \$201)
2.25	Pulte Group Incorporated	No	\$15,001 - \$50,000	None (or less than \$201)
2.26	Qualcom Incorporated	No	\$15,001 - \$50,000	None (or less than \$201)
2.27	Schlumberger Limited	No	\$15,001 - \$50,000	None (or less than \$201)
2.28	Smucker JM Company	No	\$15,001 - \$50,000	None (or less than \$201)
2.29	Starbucks Corporation	No	\$15,001 - \$50,000	None (or less than \$201)
2.30	Textron Incorporated	No	\$50,001 - \$100,000	None (or less than \$201)
2.31	Thermo Fisher Scientific Incorporated	No	\$50,001 - \$100,000	None (or less than \$201)
2.32	VMware Inxcorporated	No	\$15,001 - \$50,000	None (or less than \$201)
2.33	Fidelity Emerging Markets	No	\$15,001 - \$50,000	None (or less than \$201)
2.34	Fidelity Select Health Care	No	\$15,001 - \$50,000	None (or less than \$201)
2.35	Vanguard Mid-Cap Value Index	Yes	\$50,001 - \$100,000	None (or less than \$201)
2.36	Vanguard Growth ETF	No	\$50,001 - \$100,000	None (or less than \$201)
2.37	Vanguard Index Small Cap	Yes	\$50,001 - \$100,000	None (or less than \$201)
2.38	Vanguard Real Estate ETF	Yes	\$15,001 - \$50,000	None (or less than \$201)
3	1st Global Capital Corporation ROTH IRA:	N/A		None (or less than \$201)
3.1	Qualcom Incorporated	No	\$1,001 - \$15,000	None (or less than \$201)
4	Fidelity IRA:	N/A		None (or less than \$201)
4.1	SPDR Gold Shares	Yes	\$1,001 - \$15,000	None (or less than \$201)
5	1st Global Capital Corporation IRA	N/A		None (or less than \$201)
5.1	Bank Deposit Sweep Program	N/A	\$1,001 - \$15,000	None (or less than \$201)

5.2	Abbvie Incorporated	No	\$1,001 - \$15,000		None (or less than \$201)
5.3	Amazon Corporation	No	\$15,001 - \$50,000		None (or less than \$201)
5.4	Fortune Brands Home & Security Incorporated	No	\$1,001 - \$15,000		None (or less than \$201)
5.5	Lululemon Athletica Incorporated	No	\$1,001 - \$15,000		None (or less than \$201)
5.6	Pfizer Incorporated	No	\$1,001 - \$15,000		None (or less than \$201)
5.7	Starbucks Corporation	No	\$15,001 - \$50,000		None (or less than \$201)
5.8	United Technologies Corporation	No	\$1,001 - \$15,000		None (or less than \$201)
5.9	US Bancorp	No	\$1,001 - \$15,000		None (or less than \$201)
5.10	Vanguard Real Estate ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	1st Global Capital Corporation ROTH IRA	N/A			None (or less than \$201)
6.1	Bank Deposit Sweep Program	N/A	None (or less than \$1,001)		None (or less than \$201)
6.2	Vanguard Index Mid-Cap	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	The James A. Faist and Barbara C. Faist Living Trust	No			None (or less than \$201)
7.1	First Energy Stock	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8	Fidelity Trust: Under Agreement:	Yes			None (or less than \$201)
8.1	-Fidelity Cash	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.2	Fidelity Contrafund	Yes	\$100,001 - \$250,000	Capital Gains	\$2,501 - \$5,000
8.3	Fidelity Low Price Stock Fund	Yes	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.4	Southwest Airlines Corporation	No	\$1,001 - \$15,000		None (or less than \$201)
8.5	Oppenheimer International Growth	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.6	Starbucks Corporation	Yes	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9	Real Estate, Melbourne Florida Trust: Under Agreement	N/A	\$250,001 - \$500,000		None (or less than \$201)
9.1	Residential, Melbourne Florida	N/A	\$250,001 - \$500,000	Rent and Royalties	\$15,001 - \$50,000
10	Merrill Lynch Trust: Under Agreement:	N/A			None (or less than \$201)
10.1	Cash/Money Accounts	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.2	Abbott Labs Corporation	No	\$1,001 - \$15,000		None (or less than \$201)
10.3	-Abbvie Corporation	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.4	Americal Telegraph & Telephone Corporation	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
10.5	Automatic Data Processing Corporation	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.6	Baxter Corporation	No	\$1,001 - \$15,000		None (or less than \$201)
10.7	Boeing Corporation	No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

10.8	Cardinal Health Incorporated	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.9	2017 Century Link Corporation	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.10	Chevron Corporation	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.11	Colgate-Palmolive Corporation	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.12	Cummins Incorporated	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.13	DowDupont Incorporated	No	\$1,001 - \$15,000		None (or less than \$201)
10.14	Enbridge Incorporated	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.15	Exxon Mobile Corporation	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.16	Fortune Brands Home & Security Incorporated	No	\$1,001 - \$15,000		None (or less than \$201)
10.17	2017 General Electric Corporation	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.18	JM Smucker Corporation	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.19	Metlife Incorporated	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.20	Nextera Energy Incorporated	No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.21	Pepsico Incorporated	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.22	Phillips 66 Corporation	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.23	Proctor and Gamble Corporation	No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.24	Quest Diagnostics Incorporated	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.25	Salesforce Incorporated	No	\$15,001 - \$50,000		None (or less than \$201)
10.26	Verizon Communications Corporation	No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.27	American Century Emerging Markets	No	\$15,001 - \$50,000		None (or less than \$201)
11	Estate of Paul Faist: Ishares Core S&P 500 ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
12	US Bank Account #1- Cash	N/A	\$15,001 - \$50,000		None (or less than \$201)
13	US Bank Account #2 - Cash	N/A	None (or less than \$1,001)		None (or less than \$201)

7. Transactions

This report has no reported **Transactions**

8. Liabilities

This report has no reported **Liabilities**

9. Gifts and Travel Reimbursements

This report has no reported **Gifts and Reimbursements**

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation. This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3)

positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period. The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

5. Spouse's Employment Assets & Income and Retirement Accounts

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children. This section does not

include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period. This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period. This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

Public Burden Information

This collection of information is estimated to take an average of three hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).